



# BEST AVAILABLE COPY

PATENT  
0247D-5385

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Hiroyuki Kinoshita et al.

Serial No: 08/808,315

Filed: February 27, 1997

For: Sapphire Monocrystal, Semiconductor  
Laser Diode Using the Same for  
Substrate, and Method for  
Manufacturing the Same

Art Unit: 2812

Examiner: Yoni Y. Chang

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington D.C. 20231, on

19 March 1999

Date of Deposit

William P. Wright

Name

W.P. Wright

Signature

03/19/1999

Date

## REQUEST FOR CORRECTED FILING RECEIPT

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APR 14 1999

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sirs:

Attached is a copy of the official Filing Receipt (Exhibit 1) received from the PTO in the above application, for which issuance of a corrected filing receipt is respectfully requested.

There is an error in the Filing Receipt in that the filing date is incorrectly entered. The Filing Receipt date should read "02/27/97" rather than "02/28/97".

As evidenced by the customer copy of the express mail slip (Exhibit 2), the application was deposited with the U.S. Postal Service on February 27, 1997 ("FEB 27 1999"). The transmittal for this application (Exhibit 3) indicates the express mail label number (EM377155497US) and February 27, 1997 date. Further, the first page of the application (Exhibit 4) reflects the same express mail label number.

Accordingly, it is respectfully requested that the above application be accorded its proper filing date of February 27, 1997.

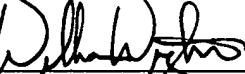
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Since the correction is not due to any error by applicant, no fee is required.

Respectfully submitted,

LOEB & LOEB LLP

Date: 18 March 1999

By: 

William H. Wright

Registration No. 36,312

Attorney for Applicant(s)

10100 Santa Monica Blvd., 22nd Floor  
Los Angeles, California 90067-4164  
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UNITED STATES DEPARTMENT OF COMMERCE  
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PD-5385  
KYOCERA  
AC

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/808,315	02/28/97	1109	\$770.00	247/PD-5385	6	16	7

LOEB & LOEB  
10100 SANTA MONICA BOULEVARD  
22ND FLOOR  
LOS ANGELES CA 90067



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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

## Applicant(s)

HIROYUKI KINOSHITA, GOMO-GUN, JAPAN; MOTOHIRO UMEHARA,  
GOMO-GUN, JAPAN.

FOREIGN/PCT APPLICATIONS-JAPAN	8-43862	02/29/96
JAPAN	8-43863	02/29/96

TITLE  
SAPPHIRE MONOCRYSTAL, SEMICONDUCTOR LASER DIODE USING THE SAME FOR  
SUBSTRATE, AND METHOD FOR MANUFACTURING THE SAME

PRELIMINARY CLASS: 117

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JUN 20 1997

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EXHIBIT 1

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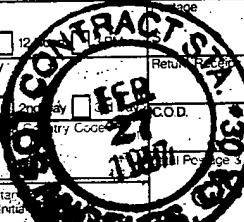
Business Papers

Merchandise

Customs forms and commercial invoice may be required.  
See Pub 273 and  
International Mail Manual.

P.O. ZIP	Day of Delivery	<input type="checkbox"/> Next	<input type="checkbox"/> Second	<input type="checkbox"/> Flat Rate Envelope
Date In:	Mo.	Day	Yr.	12
Time In:	Military			Return Receipt
	<input type="checkbox"/> AM	<input type="checkbox"/> PM	12th Day	3rd Day
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FROM: APMS AT PHONE: 310 262 2000  
LUCAS LIEB LLP  
10100 SANTA MONICA BLVD #2200  
LOS ANGELES CA 90067-4164  
EMILY MEDEROS, PATENT DEPT.  
Kyocera 247D/5385

TO: ADDRESS MAIL: 700  
Patent Application Branch  
Attn: COMMISSIONER OF PATENTS  
Washington, D.C. 20231

EXHIBIT 2

ASSISTANT COMMISSIONER OF PATENTS  
Washington, D.C. 20231

Exp. Mail No. EM 377 155 497

Dear Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): HIROYUKI KINOSHITA; MOTOHIRO UMEHARA

For: SAPPHIRE MONOCRYSTAL, SEMICONDUCTOR LASER DIODE USING THE SAME FOR SUBSTRATE, AND  
METHOD FOR MANUFACTURING THE SAME

Enclosed are:

- Sheet(s) of drawing (6 formal  informal) + 0 extra copies
- An assignment of the invention to KYOCERA CORPORATION.  Will follow.
- A certified copy of Jap. Pat. Appl. 8-43862 filed 2/29/96; 8-43863 filed 2/29/96 from which priority is claimed in the subject case pursuant to Rule 55(b) and 35 USC 119.  Will follow.
- An associate power of attorney.
- A verified statement to establish small entity status under 37 CFR 1.9 and 1.27.
- Declaration and Power of Attorney.  Will Follow.
- Information Disclosure Statement.
- Preliminary Amendment.

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CALCULATION OF FEES					
ITEM		NUMBER OF CLAIMS FILED MINUS BASE*	NUMBER OF CLAIMS OVER BASE x RATE	\$ AMOUNT	\$ FEE
A	TOTAL CLAIMS FEE	16	- 20* = 0	x \$11.00 or \$22.00	\$
B	INDEPENDENT CLAIMS FEE**	7	- 3* = 4	x \$40.00 or \$80.00	\$320.00
C	BASIC FEE			SMALL ENTITY FEE = \$385.00 LARGE ENTITY FEE = \$770.00	\$770.00
D	MULTIPLE-DEPENDENT CLAIMS FEE			SMALL ENTITY FEE = \$130.00 LARGE ENTITY FEE = \$260.00	\$
E	TOTAL FEE				\$1,090.00

- Please charge my Deposit Account No. the amount of \$\_\_\_\_\_. A copy of this letter is enclosed.
- A check in the amount of \$1,090.00 to cover the filing fee is enclosed. A copy of this letter is enclosed.
- Check for \$40.00 covering Recordation of Assignment fee enclosed. A copy of this letter is enclosed.
- The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 12-1820. A duplicate copy of this sheet is enclosed.
- Any additional filing fees required under 37 CFR 1.16.
- Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

  
Roger R. Wise

Registration No. 31,204

Date: February 27, 1997

LOEB & LOEB LLP  
10100 Santa Monica Blvd. Suite 2200  
LOS ANGELES, CALIFORNIA 90067-4164  
(310) 282-2000

EXHIBIT 3

**BEST AVAILABLE COPY**

247/PD-5385

Exp. Mail No. EM 377 155 497



**SPECIFICATION**

**TITLE OF THE INVENTION**

SAPPHIRE MONOCRYSTAL, SEMICONDUCTOR LASER DIODE USING THE SAME FOR SUBSTRATE, AND METHOD FOR MANUFACTURING THE SAME

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**BACKGROUND OF THE INVENTION**

**1. Field of the Invention**

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The present invention relates to a sapphire monocrystal provided with a smooth cleavage plane, more particularly, to a monocrystal sapphire substrate easier to cleave, so as to be used as a substrate, of thin film growth, such as semiconductor or the like, for electronic parts or structure parts, and to a method of working the same. Furthermore, the invention relates to a semiconductor laser diode using such a monocrystal sapphire substrate and a method of manufacturing the same.

**2. Prior Art**

The sapphire monocrystal, i.e.,  $Al_2O_3$ , is used for usage of wider range, because it has higher clear-degree, hardness and comparatively smoother plane. The sapphire of the monocrystal is pulled, growing a seed crystal in contact with the surface of the molten alumina to produce